

FORM PTO-1396
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

Samaras 8-8

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/980288

INTERNATIONAL APPLICATION NO.

PCT/GB00/01561

INTERNATIONAL FILING DATE

04/20/2000

PRIORITY DATE CLAIMED

06/09/1999

TITLE OF INVENTION Improving Encoding Technique For Packet Switched Networks

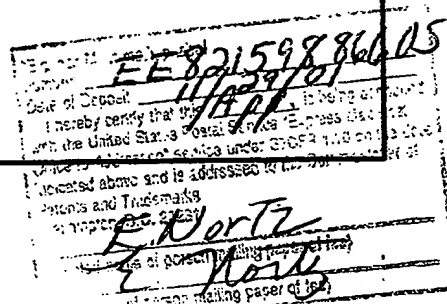
APPLICANT(S) FOR DO/EO/US Samaras, K., Wu, J.

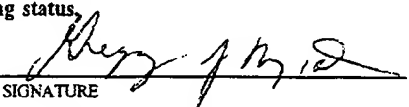
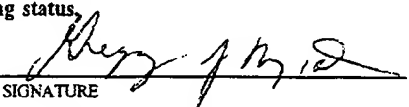
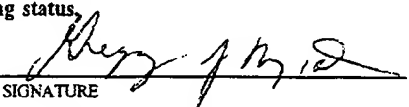
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto.
 - b. ☒ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:



| | | | | | | | | | | | | | | | |
|--|---------------------|--|-------------|---|-----------|---|--|--------------------------|--|------|--|--------------|--|---------------------|--|
| U.S. APPLICATION NO. (37 CFR 1.53) 097 980288 | | INTERNATIONAL APPLICATION NO. PCT/GB00/01561 | | ATTORNEY'S DOCKET NUMBER Samaras 8-8 | | | | | | | | | | | |
| 21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | CALCULATIONS PTO USE ONLY <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">\$ 890.00</td> <td style="width: 50%; border: none;"></td> </tr> <tr> <td style="border: none;">\$ 130.00</td> <td style="border: none;"></td> </tr> </table> | | \$ 890.00 | | \$ 130.00 | | | | | | | |
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| \$ 130.00 | | | | | | | | | | | | | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">\$ 130.00</td> <td style="width: 50%; border: none;"></td> </tr> </table> | | \$ 130.00 | | | | | | | | | |
| \$ 130.00 | | | | | | | | | | | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | | | | | | | | | | | |
| Total claims | 7 - 20 = | 0 | x \$18.00 | \$ | | | | | | | | | | | |
| Independent claims | 2 - 3 = | 0 | x \$84.00 | \$ | | | | | | | | | | | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | + \$280.00 | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1020.00 | | | | | | | | | | | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">\$</td> <td style="width: 50%; border: none;"></td> </tr> </table> | | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | | | | |
| SUBTOTAL = | | | | \$ 1020.00 | | | | | | | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">\$</td> <td style="width: 50%; border: none;"></td> </tr> </table> | | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | | | | |
| TOTAL NATIONAL FEE = | | | | \$ 1020.00 | | | | | | | | | | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">\$</td> <td style="width: 50%; border: none;"></td> </tr> </table> | | \$ | | | | | | | | | |
| \$ | | | | | | | | | | | | | | | |
| TOTAL FEES ENCLOSED = | | | | \$ 1020.00 | | | | | | | | | | | |
| | | | | Amount to be refunded: | \$ | | | | | | | | | | |
| | | | | charged: | \$ | | | | | | | | | | |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>12-2325</u> in the amount of \$ <u>1020.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-2325</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | | | | | | | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | | | | | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | | | | | | | | | | | |
| Docket Administrator Lucent Technologies Inc. Room 3J-219 101 Crawford's Corner Rd. Holmdel, NJ 07733-3030 | | | | <table style="width:100%; border: none;"> <tr> <td style="width: 50%; border: none;">  SIGNATURE </td> <td style="width: 50%; border: none;"></td> </tr> <tr> <td style="border: none;">Gregory J. Murgia</td> <td style="border: none;"></td> </tr> <tr> <td style="border: none;">NAME</td> <td style="border: none;"></td> </tr> <tr> <td style="border: none;"><u>41209</u></td> <td style="border: none;"></td> </tr> <tr> <td style="border: none;">REGISTRATION NUMBER</td> <td style="border: none;"></td> </tr> </table> | |  SIGNATURE | | Gregory J. Murgia | | NAME | | <u>41209</u> | | REGISTRATION NUMBER | |
|  SIGNATURE | | | | | | | | | | | | | | | |
| Gregory J. Murgia | | | | | | | | | | | | | | | |
| NAME | | | | | | | | | | | | | | | |
| <u>41209</u> | | | | | | | | | | | | | | | |
| REGISTRATION NUMBER | | | | | | | | | | | | | | | |